

11/28/01



11/28/01 U.S. PTO

11-30-01

A

Please type a plus sign (+) inside this box ☐PTO/SB/05 (03-01)  
Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

E-1743 DIV

First Inventor

Gao

Title

Carbon nanotubes on a substrate  
and method of making

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 15]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 4]  
a. ☐ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
b. ☒ (for continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies), or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☐ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No

09,333,876

Prior application information

Examiner Newton Edwards

Group Art Unit

1774

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒

Correspondence address below

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Douglas E. McKinley, Jr.

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WA

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99352

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Telephone

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DOUGLAS E. MCKINLEY JR.

Registration No. (Attorney/Agent)

40,280

Signature

Date

NOV 27, 2001

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 370.00

**Complete if Known**

Application Number

Filing Date

First Named Inventor

Gao

Examiner Name

Group Art Unit

Attorney Docket No

F-1743 DIV

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-1275

Deposit  
Account  
Name

Battelle Memorial Institute

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Fee Fee Fee  
Code (\$) Code (\$) Fee Description

|     |     |     |     |                        |
|-----|-----|-----|-----|------------------------|
| 101 | 740 | 201 | 370 | Utility filing fee     |
| 106 | 330 | 206 | 165 | Design filing fee      |
| 107 | 510 | 207 | 255 | Plant filing fee       |
| 108 | 740 | 208 | 370 | Reissue filing fee     |
| 114 | 160 | 214 | 80  | Provisional filing fee |

Fee Paid

370

SUBTOTAL (1) (\$) 370.00

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 17                 | -20** = 2    | 2              | 2        |
| 1                  | -3** = 2     | 2              | 2        |
| Multiple Dependent |              |                |          |

Large Entity Small Entity

Fee Fee Fee Fee  
Code (\$) Code (\$) Fee Description

|     |     |     |     |  |
|-----|-----|-----|-----|--|
| 103 | 18  | 203 | 9   | Claims in excess of 20                                     |
| 102 | 84  | 202 | 42  | Independent claims in excess of 3                          |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid                      |
| 109 | 84  | 209 | 42  | ** Reissue independent claims over original patent         |
| 110 | 18  | 210 | 9   | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$) 370.00

\*\*or number previously paid, if greater, For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |  |  |
|-----------------------|-----------------------|-----------------|----------|--|--|
| 105                   | 130                   | 205             | 65       | Surcharge - late filing fee or oath  |  |
| 127                   | 50                    | 227             | 25       | Surcharge - late provisional filing fee or cover sheet                     |  |
| 139                   | 130                   | 139             | 130      | Non-English specification  |  |
| 147                   | 2,520                 | 147             | 2,520    | For filing a request for ex parte reexamination                            |  |
| 112                   | 920*                  | 112             | 920*     | Requesting publication of SIR prior to Examiner action                     |  |
| 113                   | 1,840*                | 113             | 1,840*   | Requesting publication of SIR after Examiner action                        |  |
| 115                   | 110                   | 215             | 55       | Extension for reply within first month                                     |  |
| 116                   | 400                   | 216             | 200      | Extension for reply within second month                                    |  |
| 117                   | 920                   | 217             | 460      | Extension for reply within third month                                     |  |
| 118                   | 1,440                 | 218             | 720      | Extension for reply within fourth month                                    |  |
| 128                   | 1,960                 | 228             | 980      | Extension for reply within fifth month                                     |  |
| 119                   | 320                   | 219             | 160      | Notice of Appeal   |  |
| 120                   | 320                   | 220             | 160      | Filing a brief in support of an appeal                                     |  |
| 121                   | 280                   | 221             | 140      | Request for oral hearing   |  |
| 138                   | 1,510                 | 138             | 1,510    | Petition to institute a public use proceeding                              |  |
| 140                   | 110                   | 240             | 55       | Petition to revive - unavoidable   |  |
| 141                   | 1,280                 | 241             | 640      | Petition to revive - unintentional   |  |
| 142                   | 1,280                 | 242             | 640      | Utility issue fee (or reissue)   |  |
| 143                   | 460                   | 243             | 230      | Design issue fee   |  |
| 144                   | 620                   | 244             | 310      | Plant issue fee  |  |
| 122                   | 130                   | 122             | 130      | Petitions to the Commissioner  |  |
| 123                   | 50                    | 123             | 50       | Processing fee under 37 CFR 1.17(q)  |  |
| 126                   | 180                   | 126             | 180      | Submission of Information Disclosure Stmt                                  |  |
| 581                   | 40                    | 581             | 40       | Recording each patent assignment per property (times number of properties) |  |
| 146                   | 740                   | 246             | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |  |
| 149                   | 740                   | 249             | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |  |
| 179                   | 740                   | 279             | 370      | Request for Continued Examination (RCE)                                    |  |
| 169                   | 900                   | 169             | 900      | Request for expedited examination of a design application                  |  |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)

Douglas E. McKinley Jr.

Registration No  
(Attorney/Agent)

40,280

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(504) 628-0809

Signature

[Signature]

Date

Nov 27, 2001

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|  |                           |
|--|---------------------------|
| In re Application of: Gao                                    | ) Art Unit                |
| Serial No:   | ) Examiner:               |
| Filed:   | ) Paper No: 1             |
| For: CARBON NANOTUBES ON A SUBSTRATE<br>AND METHOD OF MAKING | ) File No E-1743 DIV      |
|  | ) Date: November 26, 2001 |

CERTIFICATE OF MAILING

Box PATENT APPLICATION  
Commissioner of Patents and Trademarks  
Washington, DC 20231

Dear Sir:

The undersigned hereby certifies that the attached:

- ☒ Copy of Original Specification filed for Divisional Patent Application of 15 pages entitled CARBON NANOTUBES ON A SUBSTRATE AND METHOD OF MAKING, and
- ☒ Copy of Original Drawings of 4 pages
- ☒ Fee Transmittal (2 ea.)
- ☒ Utility Patent Application Transmittal (PTO/SB/05)
- ☒ Preliminary Amendment filed concurrent with Divisional Application (3 pages)
- ☒ Assignment / Cvr. Sheet
- ☒ Copy of Original Declaration and Power of Attorney (3 pages)
- ☒ Associate Power of Attorney
- ☒ Return Postcard
- ☐ Information Disclosure
- ☐ with attachments

are being deposited with the United States Postal Service as:

- ☐ First Class Mail
  - ☒ Express Mail - Label # ET010588277US
- in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date set forth below.

Signature

Date Deposited

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